



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/733,073
Filing Date	December 10, 2003
First Named Inventor	Hugh S. Njemanze
Art Unit	2614
Examiner Name	Not yet known
Attorney Docket Number	25137-11332

Sheet	1	of	1
-------	---	----	---

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number - Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶

OTHER REFERENCES - NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
SD	C1	HEBERLEIN, L. T., et al., "A Method to Detect Intrusive Activity in a Networked Environment," Proceedings of the Fourteenth National Computer Security Conference, NIST/NCSC, October 1-4, 1991, Washington, D.C., pp. 362-371.	
SD	C2	JAVITZ, H. S., et al., "The NIDES Statistical Component Description and Justification," SRI Project 3131, Contract N00039-92-C-0015, Annual Report, A010, March 7, 1994.	
SD	C3	JOU, Y. F., et al., "Architecture Design of a Scalable Intrusion Detection System for the Emerging Network Infrastructure," MCNC, Technical Report CDRL A005, April 1997.	
SD	C4	PORRAS, P. A., et al., "Live Traffic Analysis of TCP/IP Gateways," Symposium on Networks and Distributed Systems Security, Internet Society, March 1998.	
SD	C5	ROBINSON, S. L., "Memorandum Opinion" in SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation (D. Del., Civ. No. 04-1199-SLR), October 17, 2006.	
SD	C6	VALDES, A., et al., "Statistical Methods for Computer Usage Anomaly Detection Using NIDES (Next-Generation Intrusion Detection Expert System)," Proceedings of the Third International Workshop on Rough Sets and Soft Computing (RSSC 94), January 27, 1995, San Jose, CA, pp. 306-311.	

Examiner Signature	/Suman Debnath/	Date Considered	03/07/2007
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

25137/11332/DOCS/1691228.1

Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application No.	10/733,073
				Filing Date	December 10, 2003
				First Named Inventor	Hugh S. Njemanze
				Art Unit	2131
				Examiner Name	Not Yet Known
Sheet	1	of	1	Attorney Docket Number	25137-11332

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
SD	A1	US-2005/0204404 A1	09-15-2005	Hrabik et al.
SD	A2	US-6,988,208	01-17-2006	Hrabik et al.
SD	A3	US-2002/0099958 A1	07-25-2002	Hrabik et al.

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
SD	B1	WO 02/060117 A1	08-01-2002	Solutionary, Inc.	

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶

Examiner Signature	/Suman Debnath/	Date Considered	03/07/2007
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

25137/11332/DOCS/1633611.1

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Complete if Known Application No. 10/733,073 Filing Date December 10, 2003 First Named Inventor Hugh S. Njemanze Art Unit 2131 Examiner Name Not Yet Known Attorney Docket Number 25137-11332	
Sheet	1	of	3



U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
SD	A1	US-2004/0221191 A1	11-04-2004	Porras et al.
SD	A2	US-6,711,615	03-23-2004	Porras et al.
SD	A3	US-6,708,212	03-16-2004	Porras et al.
SD	A4	US-6,704,874 B1	03-09-2004	Porras et al.
SD	A5	US-2004/0024864 A1	02-05-2004	Porras et al.
SD	A6	US-2004/0010718 A1	01-15-2004	Porras et al.
SD	A7	US-2003/0093514 A1	05-15-2003	Valdes et al.
SD	A8	US-2003/0093692 A1	05-15-2003	Porras
SD	A9	US-2003/0101358 A1	05-29-2003	Porras et al.
SD	A10	US-6,484,203	11-19-2002	Porras et al.
SD	A11	US-6,321,338	11-20-2001	Porras et al.
SD	A12	US-5,717,919	02-10-1998	Kodavalla et al.

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ⁶
SD	C1	ARCSIGHT, "About ArcSight Team," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/about_team.htm >.			
SD	C2	ARCSIGHT, "About Overview," October 14, 2002, [online] [Retrieved on April 21, 2006] Retrieved from the Internet <URL: http://web.archive.org/web/20021014041614/http://www.arcsight.com/about.htm >.			
SD	C3	ARCSIGHT, "Contact Info," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/contact.htm >.			

Examiner Signature	/Suman Debnath/	Date Considered	03/07/2007
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.
 Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

25137/11332/DOCS/1617968.1

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application No.	10/733,073
				Filing Date	December 10, 2003
				First Named Inventor	Hugh S. Njemanze
				Art Unit	2131
				Examiner Name	Not Yet Known
Sheet	2	of	3	Attorney Docket Number	25137-11332

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
SD	C4	ARCSIGHT, "Enterprise Coverage: Technology Architecture," date unknown, [online] Retrieved from the Internet <URL: http://www.snaiso.com/Documentation/Arcsight/arcsight_archdta.pdf >.	
SD	C5	ARCSIGHT, "Managed Process: ArcSight Reporting System," date unknown, [online] Retrieved from the Internet <URL: http://www.snaiso.com/Documentation/Arcsight/arcsight_reportsys.pdf >.	
SD	C6	ARCSIGHT, "Managed Process: Console-Based Management," date unknown, [online] Retrieved from the Internet <URL: http://www.snaiso.com/Documentation/Arcsight/arcsight_console.pdf >.	
SD	C7	ARCSIGHT, "Precision Intelligence: SmartRules™ and Cross-Correlation," date unknown, [online] Retrieved from the Internet <URL: http://www.snaiso.com/Documentation/Arcsight/arcsight_correlation.pdf >.	
SD	C8	ARCSIGHT, "Precision Intelligence: SmartAgent™," date unknown, [online] Retrieved from the Internet <URL: http://www.ossmangement.com/SmartAgent.pdf >.	
SD	C9	ARCSIGHT, "Product Info: Product Overview and Architecture," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product.htm >.	
SD	C10	ARCSIGHT, "Product Info: 360° Intelligence Yields Precision Risk Management," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product_info01.htm >.	
SD	C11	ARCSIGHT, "Product Info: ArcSight SmartAgents," October 10, 2002, [online] [Retrieved on April 21, 2006] Retrieved from the Internet <URL: http://web.archive.org/web/20021010135238/http://www.arcsight.com/product_info02.htm >.	
SD	C12	ARCSIGHT, "Product Info: ArcSight Cross-Device Correlation," date unknown, [online] [Retrieved on October 25, 2005] Retrieved from the Internet <URL: http://www.arcsight.com/product_info03.htm >.	
SD	C13	ARCSIGHT, "Product Info: ArcSight Manager," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product_info04.htm >.	
SD	C14	ARCSIGHT, "Product Info: ArcSight Console," date unknown, [online] [Retrieved on November 15, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product_info05.htm >.	
SD	C15	ARCSIGHT, "Product Info: ArcSight Reporting System," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product_info06.htm >.	
SD	C16	ARCSIGHT, "Product Info: Enterprise Scaling," date unknown, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/product_info07.htm >.	
SD	C17	ARCSIGHT, "Security Management for the Enterprise," 2002, [online] [Retrieved on October 25, 2002] Retrieved from the Internet <URL: http://www.arcsight.com/ >.	
SD	C18	ARCSIGHT, "Technical Brief: How Correlation Eliminates False Positives," date unknown, source unknown.	
SD	C19	BURLESON, D., "Taking Advantage of Object Partitioning in Oracle8i," November 8, 2000, [online] [Retrieved on April 20, 2004] Retrieved from the Internet <URL: http://www.dba-oracle.com/art_partit.htm >.	
SD	C20	DERODEFF, C. "Got Correlation? Not Without Normalization," 2002, [online] Retrieved from the Internet <URL:	

Examiner Signature	/Suman Debnath/	Date Considered	03/07/2007
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

25137/11332/DOCS/1617968.1

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Complete if Known	
				Application No.	10/733,073
				Filing Date	December 10, 2003
				First Named Inventor	Hugh S. Njemanze
				Art Unit	2131
				Examiner Name	Not Yet Known
Sheet	3	of	3	Attorney Docket Number	25137-11332

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		http://www.svic.com/papers/pdf/Got-Correlation_malization.pdf .	
SD	C21	CHEUNG, S. et al., "EMERALD Intrusion Incident Report: 601 Message Specification," August 10, 2000, System Design Laboratory, SRI International.	
SD	C22	National Institute of Standards and Technology (NIST), "Federal Information Processing Standards Publication (FIPS PUB) 199: Standards for Security Categorization of Federal Information and Information Systems", February 2004.	
SD	C23	Haley Enterprise, "Production Systems," 2002, [online] [Retrieved on October 29, 2002] Retrieved from the Internet <URL: http://www.haley.com/0072567836705810/ProductionSystems.html >.	
SD	C24	Haley Enterprise, "The Rete Algorithm," 2002, [online] [Retrieved on October 29, 2002] Retrieved from the Internet <URL: http://www.haley.com/0072567836705810/ReteAlgorithm.html >.	
SD	C25	Haley Enterprise, "A Rules Engine for Java Based on the Rete Algorithm," 2002, [online] [Retrieved on October 29, 2002] Retrieved from the Internet <URL: http://www.haley.com/0072567836705810/ReteAlgorithmForRules.html >.	
SD	C26	HALME, L.R. et al., "AINT Misbehaving: A Taxonomy of Anti-Intrusion Techniques," 2000, [online] [Retrieved on November 1, 2002] Retrieved from the Internet <URL: http://www.sans.org/newlook/resources/IDFAQ/aint.htm >.	
SD	C27	LINDQVIST, U. et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," Proceedings of the IEEE Symposium on Security and Privacy, Oakland, California, May 9-12, 1999.	
SD	C28	CERT Coordination Center, "Overview of Attack Trends," 2002, [online] Retrieved from the Internet <URL: http://www.cert.org/archive/pdf/attack_trends.pdf >.	
SD	C29	PORRAS, P.A. et al., "EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances," October 1997, Proceedings of the 20 th NIST-NCSC National Information Systems Security (NISS) Conference.	
SD	C30	PORRAS, P.A. et al., "A Mission-Impact-Based Approach to INFOSEC Alarm Correlation," October 2002, Lecture Notes in Computer Science, Proceedings: Recent Advances in Intrusion Detection, pp. 95-114, Zurich, Switzerland.	
SD	C31	INGARGIOLA, G., "The Rete Algorithm," date unknown, [online] [Retrieved on October 29, 2002] Retrieved from the Internet <URL: http://yoda.cis.temple.edu:8080/UGAIWWW/lectures/rete.html >.	
SD	C32	BRUNEAU, G., "What Difficulties are Associated on Matching Events with Attacks. Why is Event/Data Correlation Important?," 2001, [online] [Retrieved on November 1, 2002] Retrieved from the Internet <URL: http://www.sans.org/newlook/resources/IDFAQ/matching.htm >.	
SD	C33	National Institutes of Health (NIH), "Table 1: Security Categorization of Federal Information and Information Systems," revised July 8, 2005, [online] [retrieved on April 6, 2006] Retrieved from the Internet <URL: http://irm.cit.nih.gov/security/table1.htm >.	
SD	C34	WOOD, M., et al., "Internet-Draft: Intrusion Detection Message Exchange Requirements," June 23, 2002, [online] [Retrieved on November 1, 2002] Retrieved from the Internet <URL: http://www.silicondefense.com/idwg/draft-ietf-idwg-requirements-07.txt >.	

Examiner Signature	/Suman Debnath/	Date Considered	03/07/2007
--------------------	-----------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

25137/11332/DOCS/1617968.1